

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF : Anant Achyut Setlur, et al.
FOR : LED ILLUMINATION DEVICE WITH LAYERED PHOSPHOR
PATTERN
SERIAL NO. : To be Assigned
FILED : Herewith
EXAMINER : Unknown
ART UNIT : Unknown
CONFIRMATION NO. : Unknown
ATTORNEY DOCKET NO. : RD30742/GLOZ200133
Date : March 30, 2004

INFORMATION DISCLOSURE STATEMENT

MAIL STOP PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98.

[X] 1. A list of documents on Form PTO-1449 or Substitute and a translation thereof or a concise explanation of each non-English language document or a Search Report or communication from a non-US patent office or an International Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application. In accordance with the United States Patent and Trademark Office OG Notice dated 05 August 2003, waiving the requirement under 37 CFR 1.98(a)(2)(i), for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003, Applicant has not enclosed copies of the cited U.S. patents with this Disclosure.

This paper is submitted in accordance with:

[X] 2. 37 CFR 1.97(b): [within three months of national, non-CPA filing, prior to first Office Action, on the merits, or prior to first office action after filing an RCE]

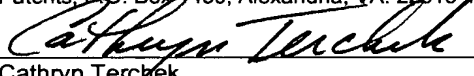
[] 3. 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

[] a. The required Certification made in item 5 below; or

[] b. The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

EXPRESS MAIL CERTIFICATE

I hereby certify that this Transmittal and attached documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service in an envelope addressed to Mail Stop Patent Application - Fee, Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450. Express Mail Label No.: .EL 998015196 US.


Cathryn Terchek

Date March 30 2004

☐ 4. 37 CFR 1.97(d): [on or before issue fee payment]; and

a) The required Certification is stated in item 5 below; and

b) The \$180.00 fee specified in 37 C.F.R. 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

☐ 5. Certification

☐ a. Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or

☐ b. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

☐ 6. Payment of all applicable fees:

Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 06-0308.
Enclosed is a check in the amount of \$_____ in payment of all applicable fees associated with the submittal of this Information Disclosure Statement.

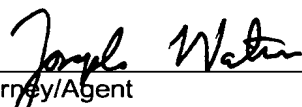
This document is submitted in duplicate.

Respectfully submitted,

FAY, SHARPE, FAGAN,
MINNICH & McKEE, LLP

Date: _____

March 30, 2004



Attorney/Agent

Scott A. McCollister, Reg. No. 33,961
Joseph E. Waters, Reg. No. 50,427

Address: 1100 Superior Avenue
Seventh Floor
Cleveland, OH 44114-2579
(216) 861-5582

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF : Anant Achyut Setlur, et al.
FOR : LED ILLUMINATION DEVICE WITH LAYERED PHOSPHOR
PATTERN
SERIAL NO. : To be Assigned
FILED : Herewith
EXAMINER : Unknown
ART UNIT : Unknown
CONFIRMATION NO. : Unknown
ATTORNEY DOCKET NO. : RD30742/GLOZ200133
Date : March 30, 2004

INFORMATION DISCLOSURE STATEMENT

MAIL STOP PATENT APPLICATION

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98.

[X] 1. A list of documents on Form PTO-1449 or Substitute and a translation thereof or a concise explanation of each non-English language document or a Search Report or communication from a non-US patent office or an International Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application. In accordance with the United States Patent and Trademark Office OG Notice dated 05 August 2003, waiving the requirement under 37 CFR 1.98(a)(2)(i), for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003, Applicant has not enclosed copies of the cited U.S. patents with this Disclosure.

This paper is submitted in accordance with:

[X] 2. 37 CFR 1.97(b): [within three months of national, non-CPA filing, prior to first Office Action, on the merits, or prior to first office action after filing an RCE]

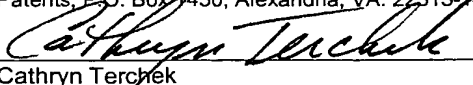
[] 3. 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and

[] a. The required Certification made in item 5 below; or

[] b. The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

EXPRESS MAIL CERTIFICATE

I hereby certify that this Transmittal and attached documents are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service in an envelope addressed to Mail Stop Patent Application - Fee, Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450. Express Mail Label No.: .EL 998015196 US.


Cathryn Terchek

Date March 30 2004

☐ 4. 37 CFR 1.97(d): [on or before issue fee payment]; and

a) The required Certification is stated in item 5 below; and

b) The \$180.00 fee specified in 37 C.F.R. 1.17(p) for submission of this Information Disclosure Statement is authorized in item 6 below.

☐ 5. Certification

☐ a. Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or

☐ b. No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.

☐ 6. Payment of all applicable fees:

Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 06-0308.

Enclosed is a check in the amount of \$_____ in payment of all applicable fees associated with the submittal of this Information Disclosure Statement.

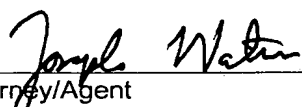
This document is submitted in duplicate.

Respectfully submitted,

FAY, SHARPE, FAGAN,
MINNICH & McKEE, LLP

Date: _____

March 30, 2004



Attorney/Agent

Scott A. McCollister, Reg. No. 33,961

Joseph E. Waters, Reg. No. 50,427

Address: 1100 Superior Avenue
Seventh Floor
Cleveland, OH 44114-2579
(216) 861-5582

| | | |
|---|--------------------------|-------------------------|
| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT(S) | Complete if Known | |
| | Application Number | To Be Assigned |
| | Filing Date | Herewith |
| | First Named Inventor | Anant Achyut Settur |
| | Art Unit | Unknown |
| | Examiner Name | Unknown |
| Sheet 1 of | Attorney Docket No. | RD 30742 (GLOZ 2 00133) |

U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. | Document No. Number-Kind Code (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|--------------------|----------|--|-----------------------------|---|---|
| | AA | US-5,813,753 | 09/29/1998 | Vriens et al. | |
| | AB | US-6,066,861 | 05/23/2000 | Höhn et al. | |
| | AC | US-6,155,699 | 12/05/2000 | Miller et al. | |
| | AD | US-6,274,890 B1 | 08/14/2001 | Oshio et al. | |
| | AE | US- | | | |
| | AF | US- | | | |
| | AG | US- | | | |
| | AH | US- | | | |
| | AI | US- | | | |
| | AJ | US- | | | |
| | AK | US- | | | |
| | AL | US- | | | |

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. | Foreign Patent Document | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T |
|--------------------|----------|--|-----------------------------|---|---|--------------------------|
| | | Country Code-Number Kind Code (if known) | | | | |
| | AM | | | | | <input type="checkbox"/> |
| | AN | | | | | <input type="checkbox"/> |
| | AO | | | | | <input type="checkbox"/> |
| | AP | | | | | <input type="checkbox"/> |

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published | T |
|--------------------|----------|--|--------------------------|
| | AQ | | <input type="checkbox"/> |
| | AR | | <input type="checkbox"/> |
| | AS | | <input type="checkbox"/> |
| | AT | | <input type="checkbox"/> |
| | AU | | <input type="checkbox"/> |
| | AV | | <input type="checkbox"/> |

N:\GLOZ\200133\CNT0000516V001.doc

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

N:\GLOZ\200133\CNT0000516V001.DOC